

**From:** (b)(6)  
**Sent:** Tue, 7 Mar 2023 18:36:12 +0000  
**To:** Colby, Robert  
**Subject:** RE: SEC Investor Advisory Committee Recommendation - FINRA

Thanks Bob –

(b)(6)

Special Advisor and Investor Engagement Manager  
U.S. Securities and Exchange Commission

(b)(6) (b)(6) [sec.gov](http://sec.gov)

---

**From:** Colby, Robert (b)(6) @finra.org>  
**Sent:** Tuesday, March 7, 2023 1:32 PM  
**To:** (b)(6) @SEC.GOV>  
**Cc:** Miller, Kay (b)(6) @finra.org>; Christopher Mirabile (b)(6) @gmail.com>; Van Buskirk, Leslie M - DFI (b)(6) @dfi.wisconsin.gov>; Theodore Daniels (b)(6) @sfpd.org>; (b)(6) @hellmerfamily.com; (b)(6) @charter.net; Christine Lazaro (b)(6) @stjohns.edu>; Cook, Robert (b)(6) @finra.org>; Walsh, Gerri (b)(6) @finra.org>; Dalal, Kosha (b)(6) @finra.org>; Mottola, Gary (b)(6) @finra.org>; Gliniecki, Patrice (b)(6) @finra.org>  
**Subject:** RE: SEC Investor Advisory Committee Recommendation - FINRA

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Thank you, (b)(6). We have tracked the progress of this recommendation, and look forward to the Commission's response.

In the meantime, we will review our rules in light of this recommendation.

With best regards,

Bob Colby

Robert LD Colby  
Chief Legal Officer  
1735 K Street, NW | Washington, DC 20006

(b)(6) @finra.org  
(b)(6)



---

**From:** (b)(6) @SEC.GOV>  
**Sent:** Monday, March 06, 2023 5:27 PM  
**To:** Cook, Robert (b)(6) @finra.org>; Colby, Robert (b)(6) @finra.org>; Walsh, Gerri (b)(6) @finra.org>; Dalal, Kosha (b)(6) @finra.org>; Mottola, Gary (b)(6) @finra.org>  
**Cc:** Miller, Kay (b)(6) @finra.org>; Christopher Mirabile (b)(6) @gmail.com>; Van Buskirk, Leslie M - DFI (b)(6) @dfi.wisconsin.gov>; Theodore Daniels (b)(6) @sfepd.org>; (b)(6) @hellmerfamily.com; (b)(6) @charter.net; Christine Lazaro (b)(6) @stjohns.edu>  
**Subject:** SEC Investor Advisory Committee Recommendation - FINRA

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Greetings Mr. Cook and FINRA Leaders,

The [Investor Advisory Committee \[sec.gov\]](#) (IAC), one of the Commission's independent advisory committees, held a [public meeting on Thursday, March 2, 2023 \[sec.gov\]](#) in which they approved a recommendation on [Customer Account Statements \[sec.gov\]](#).

As a courtesy, the IAC Leadership (CC'd here) have asked that I share the recommendation directly with you and your staff.

The Commission has received the recommendation, but has not yet taken a position on the matter.

On a more personal note, thank you to your team for their collaborative efforts over the past few months with the SEC's Office of the Investor Advocate. The new Investor Advocate, (b)(6) (b)(6) @sec.gov, appreciates the collaboration, and looks forward to continuing the working relationship to protect investors between our Office and FINRA.

Thanks,

(b)(6)  
Special Advisor and Investor Engagement Manager  
U.S. Securities and Exchange Commission  
(b)(6) (b)(6) @sec.gov

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**From:** Uyeda, Mark T on behalf of Kofsky, Aaron  
**Sent:** Mon, 12 Dec 2022 16:57:20 +0000  
**To:** Cook, Robert  
**Subject:** Accepted: FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook

**From:** Uyeda, Mark T on behalf of Kofsky, Aaron  
**Sent:** Mon, 12 Dec 2022 16:57:20 +0000  
**To:** (b)(6) @finra.org  
**Subject:** Accepted: FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook

**From:** Cook, Robert  
**Sent:** Mon, 12 Dec 2022 16:56:38 +0000  
**To:** Colby, Robert; Dean, Gregory; Claussen, Cory; Kofsky, Aaron  
**Cc:** Chesher, Mitchell; Hader, Kurt; Campbell, Kicha; Video Conferencing Support  
**Subject:** Canceled: FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook  
**Importance:** High

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FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook [Placeholder], reoccurring on the third Friday every 3 months, beginning on September 16, 2022, through 2023.

Commissioner Mark Uyeda

Poc: Aaron Kofsky

FINRA

Robert Cook, President and CEO

Bob Colby, EVP and Chief Legal Officer

Greg Dean, SVP Government Affairs

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**From:** Cook, Robert  
**Sent:** Tue, 28 Feb 2023 22:13:46 +0000  
**To:** Colby, Robert; Dean, Gregory; Claussen, Cory; Kofsky, Aaron; Wingler, Jeanette  
**Cc:** Chesher, Mitchell; Hader, Kurt; Campbell, Kicha; Video Conferencing Support  
**Subject:** Canceled: FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook  
**Importance:** High

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FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook [Placeholder], reoccurring on the third Friday every 3 months, beginning on September 16, 2022, through 2023.

Commissioner Mark Uyeda

Poc: Aaron Kofsky

FINRA

Robert Cook, President and CEO

Bob Colby, EVP and Chief Legal Officer

Greg Dean, SVP Government Affairs

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**From:** Cook, Robert  
**Sent:** Tue, 28 Feb 2023 22:14:14 +0000  
**To:** Colby, Robert; Dumont, Stephanie; Stankard, Nathaniel; Dean, Gregory; Kofsky, Aaron  
**Subject:** Canceled: HOLD SEC/FINRA: (b)(4) and Quarterly Update Meeting with Commissioner Mark Uyeda and FINRA CEO Robert Cook [Placeholder]  
**Importance:** High

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Aaron: This is an interim placeholder for the meeting with Commissioner Uyeda and Mr. Cook. After we receive your invite with the WebEx link, I will pull down the placeholder. Thank you for your assistance. Kay Miller

Commissioner Mark Uyeda

Poc: Aaron Kofsky

Robert Cook, President and CEO (b)(6) @finra.org  
Bob Colby, EVP and Chief Legal Officer, (b)(6) @finra.org  
Stephanie Dumont, EVP Market Regulation, (b)(6) @finra.org  
Nathaniel Stankard, EVP Regulatory Operations, (b)(6) @finra.org  
Greg Dean, SVP Government Affairs, (b)(6) @finra.org

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**From:** (b)(6)@finra.org on behalf of "Kofsky, Aaron"  
**Sent:** Fri, 16 Dec 2022 18:57:26 +0000  
**To:** Levine, Steven (ES); (b)(6)@finra.org; (b)(6)@finra.org;  
(b)(6)@finra.org; Kofsky, Aaron  
**Cc:** (b)(6)@finra.org; (b)(6)@finra.org; (b)(6)@finra.org  
**Subject:** FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook

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**From:** Cook, Robert  
**Sent:** Monday, December 12, 2022 11:57:02 AM  
**To:** Cook, Robert (b)(6)@finra.org; Colby, Robert (b)(6)@finra.org; Dean, Gregory (b)(6)@finra.org; Claussen, Cory (b)(6)@finra.org; Kofsky, Aaron (b)(6)@SEC.GOV>  
**Cc:** Chesher, Mitchell (b)(6)@finra.org; Hader, Kurt (b)(6)@finra.org; Campbell, Kicha (b)(6)@finra.org  
**Subject:** FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook  
**When:** Friday, December 16, 2022 2:30 PM-3:00 PM.  
**Where:** WebEx (poc: Aaron Kofsky)

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Commissioner Mark Uyeda  
Poc: Aaron Kofsky

FINRA  
Robert Cook, President and CEO  
Bob Colby, EVP and Chief Legal Officer  
Greg Dean, SVP Government Affairs

**Robert Cook is inviting you to a scheduled Webex meeting.**

Friday, December 16, 2022  
2:30 PM | (UTC-05:00) Eastern Time (US & Canada) | 1 hr

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**From:** (b)(6)@finra.org on behalf of "Kofsky, Aaron"  
**Sent:** Fri, 16 Dec 2022 06:16:40 +0000  
**To:** Fisher, Robert; (b)(6)@finra.org; (b)(6)@finra.org;  
(b)(6)@finra.org; Kofsky, Aaron  
**Cc:** (b)(6)@finra.org; (b)(6)@finra.org; (b)(6)@finra.org  
**Subject:** FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook

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**From:** Cook, Robert  
**Sent:** Monday, December 12, 2022 11:57:02 AM  
**To:** Cook, Robert (b)(6)@finra.org>; Colby, Robert (b)(6)@finra.org>; Dean, Gregory (b)(6)@finra.org>; Claussen, Cory (b)(6)@finra.org>; Kofsky, Aaron (b)(6)@SEC.GOV>  
**Cc:** Chesher, Mitchell (b)(6)@finra.org>; Hader, Kurt (b)(6)@finra.org>; Campbell, Kicha (b)(6)@finra.org  
**Subject:** FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook  
**When:** Friday, December 16, 2022 2:30 PM-3:00 PM.  
**Where:** WebEx (poc: Aaron Kofsky)

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Commissioner Mark Uyeda  
Poc: Aaron Kofsky

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Greg Dean, SVP Government Affairs

**Robert Cook is inviting you to a scheduled Webex meeting.**

Friday, December 16, 2022  
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**From:** Cook, Robert  
**Sent:** Mon, 12 Dec 2022 16:56:46 +0000  
**To:** Colby, Robert; Dean, Gregory; Claussen, Cory; Kofsky, Aaron  
**Cc:** Chesher, Mitchell; Hader, Kurt; Campbell, Kicha  
**Subject:** FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook

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Commissioner Mark Uyeda  
Poc: Aaron Kofsky

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Greg Dean, SVP Government Affairs

**Robert Cook is inviting you to a scheduled Webex meeting.**

Friday, December 16, 2022  
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**From:** (b)(6)@finra.org  
**Sent:** Fri, 16 Jun 2023 12:55:32 +0000  
**To:** Fisher, Robert; Uyeda, Mark T; (b)(6)@SEC.GOV; (b)(6)@finra.org;  
(b)(6)@finra.org  
**Cc:** (b)(6)@finra.org; (b)(6)@finra.org; (b)(6)@finra.org;  
(b)(6)@finra.org  
**Subject:** FW: FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO  
Robert Cook

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-----Original Appointment-----

**From:** Cook, Robert <(b)(6)@finra.org>  
**Sent:** Friday, August 12, 2022 2:44 PM  
**To:** Cook, Robert; Uyeda, Mark T; Butler, Letia (Contractor); Colby, Robert; Dean, Gregory  
**Cc:** Chesher, Mitchell; Hader, Kurt; Campbell, Kicha; Video Conferencing Support  
**Subject:** FW: FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook  
**When:** Occurs the third Friday of every 3 month(s) effective 12/16/2022 until 12/29/2023 from 9:00 AM to 9:30 AM Eastern Standard Time.  
**Where:** Virtual | FINRA Hosted WebEx (poc: Tia Butler)

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-----Original Appointment-----

**From:** Cook, Robert <(b)(6)@finra.org>  
**Sent:** Friday, August 12, 2022 1:54 PM  
**To:** Cook, Robert; Butler, Letia (Contractor); Colby, Robert; Dean, Gregory  
**Cc:** Chesher, Mitchell; Hader, Kurt; Campbell, Kicha; Video Conferencing Support  
**Subject:** FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook  
**When:** Occurs the third Friday of every 3 month(s) effective 12/16/2022 until 12/29/2023 from 9:00 AM to 9:30 AM Eastern Standard Time.  
**Where:** Virtual | FINRA Hosted WebEx (poc: Tia Butler)

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FINRA Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook [Placeholder], reoccurring on the third Friday every 3 months, beginning on September 16, 2022, through 2023.

Commissioner Mark Uyeda

Poc: Tia Butler

FINRA

Robert Cook, President and CEO

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**From:** (b)(6)@finra.org on behalf of "Kofsky, Aaron"  
**Sent:** Tue, 28 Feb 2023 22:15:18 +0000  
**To:** Uyeda, Mark T; UyedaCounsel (b)(6)@finra.org;  
(b)(6)@finra.org; (b)(6)@finra.org; Kofsky, Aaron; (b)(6)@finra.org;  
(b)(6)@finra.org  
**Cc:** (b)(6)@finra.org; (b)(6)@finra.org; (b)(6)@finra.org;  
(b)(6)@finra.org; (b)(6)@finra.org  
**Subject:** FW: SEC/FINRA (b)(4) and Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook

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-----Original Appointment-----

**From:** Cook, Robert (b)(6)@finra.org>  
**Sent:** Tuesday, February 28, 2023 5:15 PM  
**To:** Cook, Robert; Colby, Robert; Dean, Gregory; Claussen, Cory; Kofsky, Aaron; Wingler, Jeanette; Dumont, Stephanie  
**Cc:** Chesher, Mitchell; Hader, Kurt; Campbell, Kicha; Video Conferencing Support; AVSupport  
**Subject:** SEC/FINRA (b)(4) and Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook  
**When:** Friday, March 17, 2023 9:30 AM-10:30 AM (UTC-05:00) Eastern Time (US & Canada).  
**Where:** FINRA hosted WebEx poc: Aaron Kofsky

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Commissioner Mark Uyeda  
Poc: Aaron Kofsky

FINRA  
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Bob Colby, EVP and Chief Legal Officer  
Greg Dean, SVP Government Affairs  
Jeanette Wingler, Special Assistant to the CEO  
Stephanie Dumont, EVP Market Regulation

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**From:** Cook, Robert  
**Sent:** Tue, 28 Feb 2023 21:04:48 +0000  
**To:** Colby, Robert; Dumont, Stephanie; Stankard, Nathaniel; Dean, Gregory; Kofsky, Aaron  
**Subject:** HOLD SEC/FINRA (b)(4) and Quarterly Update Meeting with Commissioner Mark Uyeda and FINRA CEO Robert Cook [Placeholder]

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Aaron: This is an interim placeholder for the meeting with Commissioner Uyeda and Mr. Cook. After we receive your invite with the WebEx link, I will pull down the placeholder. Thank you for your assistance. Kay Miller

Commissioner Mark Uyeda

Poc: Aaron Kofsky

Robert Cook, President and CEO, (b)(6) @finra.org  
Bob Colby, EVP and Chief Legal Officer, (b)(6) @finra.org  
Stephanie Dumont, EVP Market Regulation, (b)(6) @finra.org  
Nathaniel Stankard, EVP Regulatory Operations, (b)(6) @finra.org  
Greg Dean, SVP Government Affairs, (b)(6) @finra.org

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**From:** Cook, Robert  
**Sent:** Tue, 28 Feb 2023 22:13:56 +0000  
**To:** Colby, Robert; Dean, Gregory; Claussen, Cory; Kofsky, Aaron; Wingler, Jeanette; Dumont, Stephanie  
**Cc:** Chesher, Mitchell; Hader, Kurt; Campbell, Kicha; Video Conferencing Support; AVSupport  
**Subject:** SEC/FINRA (b)(4) and Quarterly Update: SEC Commissioner Mark Uyeda and FINRA CEO Robert Cook

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Commissioner Mark Uyeda  
Poc: Aaron Kofsky

FINRA  
Robert Cook, President and CEO  
Bob Colby, EVP and Chief Legal Officer  
Greg Dean, SVP Government Affairs  
Jeanette Wingler, Special Assistant to the CEO  
Stephanie Dumont, EVP Market Regulation

**You changed the Webex meeting information.**

When it's time, start your Webex meeting here.

Friday, March 17, 2023  
9:30 AM | (UTC-05:00) Eastern Time (US & Canada) | 1 hr

[Start meeting \[finra.webex.com\]](#)

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[finra.webex.com]

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Meeting number (access code) (b)(6)

(b)(6)

Meeting password: (b)(6)

**Tap to join from a mobile device (attendees only)**

[8773093457](#), (b)(6) US Toll Free

[+14043971516](#), (b)(6) US Toll

**Join by phone**

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+14043971516 US Toll

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